

SYSTEM AND METHOD FOR AUTOMATED DOCUMENTATION
FOR SOLICITED TRADES

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5 ABSTRACT OF THE INVENTION

10 A system and method are provided that allow for
automated documentation of all advice interactions
between broker representatives on one end and clients,
or prospective clients, on the other. This is
accomplished by providing a computer system for storing
appropriate data for each advice interaction with a
client. The advice interaction data can be used to
assess compliance with existing regulations, as well as
for analytical and training purposes.